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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Davies et al. : Date: January 15, 2002

Serial Number: Concurrent : Group Art Unit: Unknown

Filed: Concurrent : Examiner: Unknown

Title: Separation of Duties for Business
Process Risk Management : IBM CORPORATION
Intellectual Property Law
: MD90/201-1
8501 IBM Drive
: Charlotte, NC 28262

11002 U.S. PTO
10/047577
01/15/02



INFORMATION DISCLOSURE STATEMENT (IDS) UNDER 37 CFR 1.97

**Commissioner For Patents
Washington, D. C. 20231**

Dear Sir:

The attached Form PTO-1449, and any attached foreign patent office search report, provides a listing of information which may be relevant to the subject application. This IDS is not intended as a representation that better art is not available, nor that the information provided is prior art.

This IDS is submitted under:

X 37 CFR 1.97(b) - No Fee.

 37 CFR 1.97(c) - No Fee. Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application. This communication is dated _____, which is not more than 3 months prior to the mailing of this statement.

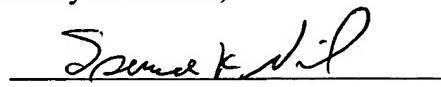
 37 CFR 1.97(c) - Fee.

 37 CFR 1.97(d) - Fee, Certification & Petition.

The Commissioner is authorized to charge payments of any associated fees required under 37 CFR 1.17(p) and (i) (1) to Deposit Account No. 09-0469 (IBM).

Respectfully submitted,

By:


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INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Docket Number (Optional)

CHA920010007US1

Application Number

Applicant(s)

Davies et al.

Filing Date

January 15, 2002

Group Art Unit

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		US 6,171,109 B1	01/2001	Ohsuga			
		6,122,633	09/2000	Leymann et al.			
		6,023,572	02/2000	Lautzenheiser et al.			
		6,021,401	02/2000	Oravetz et al.			
		5,960,420	09/1999	Leymann et al.			
		5,930,762	07/1999	Masch			
		5,745,901	04/1998	Entner et al.			
		5,655,086	08/1997	Jury et al.			
		5,493,489	02/1996	Tamaki et al.			

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

J1002 U.S. PRO
 10/04/577
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